### ATTY. DO 233/187 NO. SERIAL NO. 09/057,150 INFORMATION DISCLOSURE STATEMENT OLIVER 1998 (Use several sheets if necessary) ATTY. DO 233/187 NO. 09/057,150 APPLICANT: Douglas Clary FILING DATE: April 7, 1998 1646

| THAT I              | U.S. PATENT DOCUMENTS |                    |          |              |       |              |                |
|---------------------|-----------------------|--------------------|----------|--------------|-------|--------------|----------------|
| EXAMINER<br>INITIAL |                       | DOCUMENT<br>NUMBER | DATE     | NAME         | CLASS | SUB<br>CLASS | FILING<br>DATE |
| ROYS                | AA                    | 4,376,110          | 03/08/83 | David et al. | 436   | 513          | 08/04/80       |

|                     |    |                    | FORE     | IGN PATENT DOCUMENTS          |       |              |               |              |
|---------------------|----|--------------------|----------|-------------------------------|-------|--------------|---------------|--------------|
| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE     | COUNTRY                       | CLASS | SUB<br>CLASS | TRANSI<br>YES | LATION<br>NO |
| NAD                 | AB | 96/18738           | 20.06.96 | WO/PCT (Lev and Schlessinger) |       |              |               |              |
| 1                   | AC | 96/22976           | 01.08.96 | WO/PCT (Buzzetti)             |       | -            |               |              |

|      | C  | OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)   |
|------|----|--|
| NSNS | AD | Braunger et al., "Intracellular signaling of the Ufo/Axl receptor tyrosine kinase is mediated mainly by a multi-substrate docking-site," Oncogene 14:2619-2631 (1997)  |
|      | AE | Clary et al., "TrkA Cross-linking Mimics Neuronal Responses to Nerve Growth Factor,"  Molec. Bio.of the Cell 5:549-563 (1994)  |
|      | AF | *Curiel et al., "Adenovirus Enhancement of Transferrin-Polylysine-Mediated Gene Delivery,"  Proc. Natl. Acad. Sci. USA 88:8850-8854 (October, 1991)  |
|      | AG | Durbec et al., "GDNF Signalling Through the Ret Receptor Tyrosine Kinase," Nature 381:789-793 (1996)   |
|      | AH | Fazioli et al., "The erbB-2 Mitogenic Signaling Pathway: Tyrosine Phosphorylation of Phospholipase C- and GTP ase-Activating Protein Does Not Correlate with erbB-2 Mitogenic Potency," Molecular and Cellular Biology 11:2040-2048 (1991) |
|      | AI | Graham et al., "Characteristics of a Human Cell Line Transformed by DNA from Human Adenovirus Type 5," J. of Gen. Virology 36:59-72 (1977)   |
|      | AJ | Greene et al., "PC12 Pheochromocytoma Cells: Culture, Nerve Growth Factor Treatment, and Experimental Exploitation," Methods in Enzymology 147:207-216 (1987)  |
|      |    | Hawrot and Patterson, "Long-Term Culture of Dissociated Sympathetic Neurons," in Methods in Enzymology - Cell Culture, Jakoby and Pastan eds., Academic Press, New York, New York (1979), pp.574-584                                       |
|      | AL | Jing et al., "GDNF-Induced Activation of the Ret Protein Tyrosine Kinase Is Mediated by GDNFR-, a Novel Receptor for GDNF," Cell 85:1113-1124 (1996)   |
| V    | AM | Köhler (Kohler) and Milstein, "Continuous cultures of fused cells secreting antibody of predefined specificity," Nature 256:495-497 (1975)   |

| EXAMINER: NIMM & Pari                               | DATE CONSIDERED:  |
|---|---|
| EXAMINER: Initial if reference is considered, wheth | ner or not citation is in conformance with MPEP 609: Draw |

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant

| FC PM PTO-1449   | PLICALLY & | ATTY. DO NO. 233/187          | <b>SERIAL NO.</b> 09/057,150 |
|--|------------|-------------------------------|------------------------------|
| LIST OF PATENTS AND OTHER ITEMS FOR AP INFORMATION DISCLOSURE STATEM | ENT        | APPLICANT:<br>Douglas Clary   | •                            |
| (Use several sheets if necessary)                                    |            | FILING DATE:<br>April 7, 1998 | GROUP:<br>1646               |

Lefcort et al., "Inhibition of the NT-3 Receptor TrkC, Early in Chick Embryogenesis, Results in NX Severe Reductions in Multiple Neuronal Subpopulations in the Dorsal Root Ganglia," Neuroscience 16:3704-3713 (1996) AN McCloskey et al., "Activation of the Axl Receptor Tyrosine Kinase Induces Mitogenesis and Transformation in 32D Cells," Cell Growth & Differentiation 5:1105-1117 (1994) AO Obermeier et al., "Tyrosine 785 is a major determinant of Trk-substrate interaction," The EMBO Journal 12(3):933-941 (1993) AP Sachs et al., "Motogenic and Morphogenic Activity of Epithelial Receptor Tyrosine Kinases," J. Cell Biology 133:1095-1107 (1996) AO Santoro et al., "An Epidermal Growth Factor Receptor/ret Chimera Generates Mitogenic and Transforming Signals: Evidence for a ret-Specific Signaling Pathway," Molecular and Celullar Biology 14:663-675 (1994) AR Schaack et al., "Efficient Selection of Recombinant Adenoviruses by Vectors That Express β-Galactosidase," J. of Virology 69:3920-3923 (1995) AS Seedorf et al., "Differential Effects of Carboxy-Terminal Sequence Deletions on Platelet-Derived Growth Factor Receptor Signaling Activities and Interactions with Cellular Substrates," Molecular and Cellular Biology 12:4347-4356 (October, 1992) ATSpaargaren et al., "Antibody-induced Dimerization Activates the Epidermal Growth Factor Receptor Tyrosine Kinase," The J. of Biological Chemistry 266:1733-1739 (1991) ΑU Spencer et al., "Controlling Signal Transduction with Synthetic Ligands," Science 262:1019-ΑV 1024 (1993) Trupp et al., "Functional receptor for GDNF encoded by the c-ret proto-oncogene," Nature AW 381:785-789 (June 27, 1996)

Xiong et al., "Growth-stimulatory monoclonal antibodies against human insulin-like growth

| EXAMINER:     | DATE CONSIDERED: |
|---------------|------------------|
| Nymal S. Bani | 10/7/99          |

factor I receptor," Proc. Nat'l. Acad. Sci. USA 89:5356-5360 (1992)

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant

AX

## EST AVAILABLE COPY

### FORM PTO-1449

### LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

| ATTY. DOCKET . ).<br>233/187 | SERIAL NO.<br>Unknown 09/057,/50 |
|------------------------------|----------------------------------|
| APPLICANT:<br>Douglas Clary  | ·                                |
| FILING DATE:                 | GROUP: 1646                      |

|                     |    |                 | U.S. PATENT | DOCUMENTS    |       |              |                |
|---------------------|----|-----------------|-------------|--------------|-------|--------------|----------------|
| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE        | NAME         | CLASS | SUB<br>CLASS | FILING<br>DATE |
| KB                  | AA | 4,376,110       | 03/08/83    | David et al. | 436   | 513          | 8/4/80         |

| -                   |    | FC              | DREIGN PATEN | T DOCUMENTS          |       |              |               |       |
|---------------------|----|-----------------|--------------|----------------------|-------|--------------|---------------|-------|
| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE         | COUNTRY              | CLASS | SUB<br>CLASS | TRANSI<br>YES | NO NO |
| WA                  | AB | 96/18738        | 20.06.96     | WO/PCT (Sugen, Inc.) |       |              |               |       |

| 17. | AB | 96/16/36 20:06:50 WO/I C1 (Sugeri, Inc.)   |
|-----|----|--|
|     |    | OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)   |
| M   | AC | Clary et al., "TrkA Cross-Linking Mimics Neuronal Responses to Nerve Growth Factor", Mol. Biol. Cell. 5: 549-563 (1994)  |
|     | AD | Curiel et al., "Adenovirus Enhancement of Transferrin-polylysine-mediated Gene Delivery," <a href="Proc. Natl.Acad. Sci. USA">Proc. Natl. Acad. Sci. USA</a> 88:8850-8854 (1991)   |
|     | AE | Durbec et al., "GDNF Signalling Through the Ret Receptor Tyrosine Kinase", Nature 381:789-793 (1996)   |
|     | AF | Fazioli et al., "The erbB-2 Mitogenic Signaling Pathway: Tyrosine Phosphorylation of Phospholipase C-y and GTPase-Activating Protein Does Not Correlate with erbB-2 Mitogenic Potency", Mol. Cell. Biol. 11: 2040-2048 (1991)                      |
|     | AG | Graham et al., "Characteristics of a Human Cell Line Transformed by DNA from Human Adenovirus Type 5", I. Gen. Virol 36: 59-72 (1977)  |
|     | АН | Greene et al., "PC12 Pheochromocytoma Cells: Culture, Nerve Growth Factor Treatment, and Experimental Exploitation", <u>Methods Enzymol.</u> 147: 207-216 (1987)   |
|     | Al | Hawrot and Patterson, "Long-Term Culture of Dissociated Sympathetic Neurons", <u>Methods Enzymol.</u> 53: 574-584 (1979)   |
|     | AJ | Jing et al., "GDNF-Induced Activation of the Ret Protein Tyrosine Kinase is Mediated by GDNFR-α, a Novel Receptor for GDNF", <u>Cell</u> 85:1113-1124 (1996)   |
|     | AK | Kohler, et al., "Continuous Cultures of Fused Cells Secreting Antiboy of Predefined Specificity", Nature 256:495-497 (1975)  |
|     | AL | Lefcort et al., "Inhibition of the NT-3 Receptor TrkC, Early in Chick Embryogenesis, Results in Severe Reductions in Multiple Neuronal Subpopulations in the Dorsal Root Ganglia", <u>I. Neurosci.</u> 16: 3704-3713 (1996)                        |
|     | AM | Schaack et al., "Efficient Selection of Recombinant Adenoviruses by Vectors That Express β-Galactosidase", <i>I. Virol.</i> 69: 3920-3923 (1995)   |
|     | AN | Seedorf et al., "Differential Effects of Carboxy-Terminal Sequence Deletions on Platelet-Derived Growth Factor Receptor Signaling Activities and Interactions with Cellular Substrates," <u>Molecular and Cellular Biology</u> 12:4347-4356 (1992) |
|     | AO | Spaargaren et al., "Antibody-Induced Dimerization Activates the Epiderman Growth Factor Receptor Tyrosine Kinase", <u>I. Biol. Chem.</u> 266: 1733-1739 (1991)   |
|     | AP | Spencer et al., "Controlling Signal Transduction with Synthetic Ligands", Science, 262: 1019-1024 (1993)   |
|     | AQ | Trupp et al., "Functional Receptor for GDNF Encoded by the c-ret Proto-Oncogene", Nature 381:785-789 (1996)  |
| W.  | AR | Won et al., "Growth -Regulated Expression of D-Type Cyclin Genes in Human Diploid Fibroblasts",<br>Proc. Natl. Acad. Sci. USA, 89: 9910-9914 (1992)  |

| EXAMINER: Numal S. | ·Ban' | DATE CONSIDERED: 10(7) 99 |
|--------------------|-------|---------------------------|
|                    |       |                           |

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

# BEST AVAILABLE COPY

### LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

FORM PTO-1449

(Use several sheets if necessary)

| 233/187                     | Unknown           | 09/05/,150 |
|-----------------------------|-------------------|------------|
| APPLICANT:<br>Douglas Clary |                   |            |
| FILING DATE:<br>Herewith    | GROUP:<br>Unknown | 1646       |

|          |  |                 | OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)  |
|----------|--|-----------------|---|
| m        | AS   |                 | OTHER DOCUMENTS (Including Addres) According Address (Including Address) According to the According Address (Including Address) According Address (Including Address |
| עיכ      |  | ├               | Receptor, Flot. Madi Assaul Est and   |
|          |  | <u> </u>        |   |
|          |  | <u> </u>        |   |
|          |  |                 |   |
|          |  |                 |   |
|          | <del>                                     </del> | 十               |   |
|          |  | ╁╴              |   |
|          |  | +-              |   |
|          | ļ  | -               |   |
|          |  |                 |   |
|          |  |                 |   |
|          |  |                 |   |
|          | $\top$   | 1               |   |
|          | ┼──  | +               |   |
|          | ┼  | +-              |   |
| <u> </u> | -  | +               |   |
|          | <del> </del>                                     | -               |   |
|          |  |                 |   |
|          |  |                 |   |
|          |  |                 |   |
|          | +-   | 1               |   |
|          | -  | +               |   |
|          |  |                 |   |
|          |  | -+              |   |
|          |  | _               |   |
|          |  |                 |   |
|          |  |                 |   |
|          |  | $\neg \top$     |   |
|          | _  | $\neg \uparrow$ |   |
|          |  |                 |   |
|          | <del>-   -</del>                                 |                 |   |
|          |  |                 |   |
| ·        | _  |                 |   |
| L        |  |                 |   |
|          | T  |                 |   |
|          |  |                 |   |

| ·                     |                             |
|-----------------------|-----------------------------|
| EXAMINER: Word S-Bani | DATE CONSIDERED: 10/7/99    |
|                       | MPEP 609: Draw line through |

EXAMINER: Initial if reference is considered, whether or not citation is in conformance at h MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Inf rmati n Disclosure Statiement - Section 9 PTO-1449